

Case No. 78384 (18-32 USDIV1)

VIA FACSIMILE NO. 571-273-8300

MAIL STOP AMENDMENT  
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ALEXANDRIA, VA 22313-1450

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**APR 28 2006**

In re Application of: **PHILLIPS ET AL.**

Serial No.: **10/706,142**

Filed: **11/12/2003**

For: **METHODS FOR FORMING SECURITY ARTICLES HAVING  
DIFFRACTIVE SURFACES AND COLOR SHIFTING  
BACKGROUNDS**

Sir:

Transmitted herewith is an INFORMATION DISCLOSURE STATEMENT in the above-identified application.

1. ☐ This IDS is submitted under 37 C.F.R. ' 1.97. No fee is required.
2. ☒ The Commissioner is hereby authorized to charge the fee in the amount of \$180.00 to Deposit Acct. **50-1465**.
3. ☐ This IDS is submitted under 37 C.F.R. ' 1.97(c) and (e). No fee is required.
4. ☐ This IDS is submitted under 37 C.F.R. ' 1.97(d) and (e). Authorization is given to charge Deposit Account **50-1465** in the amount of \$130.00 to cover the petition fee.
5. ☒ The Commissioner is hereby authorized to charge or credit any discrepancies in fee amounts to Deposit Account No. **50-1465**.

Date: April 28, 2006



Charles E. Wands  
Reg. No. 25,649

Customer No.: 27975

Telephone: (321) 725-4760

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**RECEIVED**  
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**APR 28 2006**In re Patent Application of:  
Phillips et al.Atty. Docket No.:  
78384 18-32 US DIV1

Serial No. 10/706,142

Art Unit: 1732

Filing Date: November 12, 2003

Examiner:  
Mathieu D. Vargot

Confirmation No. 6069

For: Methods For Forming Security  
Articles Having Diffractive  
Surfaces and Color Shifting  
Backgrounds

CITATION UNDER 37 CFR §1.97

VIA FACSIMILE NO. 571-273-8300  
MAIL STOP AMENDMENT  
COMMISSIONER FOR PATENTS  
P.O. BOX 1450  
ALEXANDRIA, VA 22313-1450  
U.S.A.

Sir:

Attached is form PTO-1449 listing references for consideration in the examination of the above-identified application. It is requested that these references be considered by the Examiner and officially made of record in accordance with the provisions of 37 CFR §1.97 and Section 609 of the MPEP.

This submission is made in accordance with the provisions of 37 CFR §1.97(c). Please charge Deposit Account No. 50-1465 the amount of \$180.00 to cover the processing fee. If any additional extension and/or fee is required, or if any additional fee for claims is required, authorization is given to charge Deposit Account No. 50-1465.

05/01/2006 FFANAEIA 00000077 501465 10706142

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In re Patent Application of:  
**PHILLIPS ET AL.**  
Serial No. 10/706,142  
Filed: 11/12/2003

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APR 28 2006

Respectfully submitted,



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CHARLES E. WANDS  
Reg. No. 25,649

CUSTOMER NO. 27975

Telephone: (321) 725-4760

CERTIFICATE OF FACSIMILE TRANSMISSION

I HEREBY CERTIFY that the foregoing correspondence has been forwarded via facsimile number 571-273-8300 to MAIL STOP AMENDMENT, COMMISSIONER FOR PATENTS, this 28 day of April 2006.

LHVE

<b>Form PTO 1449A</b>  <b>U.S. Department of Commerce</b> <b>Patent and Trademark Office</b>  Information Disclosure Statement by Applicant	<b>ATTY. DOCKET NUMBER:</b> 78384 (18-32 US DIV1)	<b>SERIAL NUMBER:</b> 10/706,142
	<b>APPLICANT:</b> PHILLIPS ET AL	
	<b>FILING DATE:</b> NOVEMBER 12, 2003	<b>GROUP:</b> 1732

## U.S. Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILED APP
	20030058491	March 27, 2003	Holmes et al.	359	2	
	20050128543	Jan 31, 2005	Phillips et al.	359	15	
	6,987,590	Jan 17, 2006	Phillips et al.	359	2	

## Foreign Patent Documents

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

## Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)

EXAMINER		DATE CONSIDERED
<i>EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP 609; draw a line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant</i>		